

8



PATENT

Attorney Docket No.: 393042

Express Mail Label No.: EL830768411US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jingen Zhang, et al.
Serial No. 09/851,072
Filed: May 8, 2001
For: Functional Fluid Compositions
Containing Epoxide Acid Scavengers

Examiner: Not Assigned
Group Art Unit: 1751

SUBMISSION OF MISSING PARTS

Assistant Commissioner for Patents
BOX: MISSING PARTS
Washington, D.C. 20231

Dear Sir:

In response to the Notice of Missing Parts dated July 5, 2001 (copy appended), enclosed herewith find the following:

1. Combined Declaration And Power of Attorney
2. Fee Calculation Sheet
3. Check for \$130.00

CERTIFICATE UNDER 37 C.F.R. § 1.8 and § 1.10

I hereby certify that, on the date shown below, this correspondence is being

- ☒ deposited with the United States Postal Service in an envelope addressed to Box: Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

MAILING

☐ 37 C.F.R. § 1.8
as first class mail.

☒ 37 C.F.R. § 1.10
as "Express Mail Post Office to Addressee"
EXPRESS MAIL NO. EL830768411US

FACSIMILE TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Wendy Precht
Name of Depositor

Signature

September 5, 2001
Date

PATENT

Attorney Docket No.: 393042

Express Mail Label No.: EL830768411US

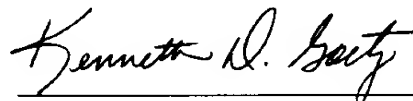
4. Information Disclosure Statement
5. Form 1449
6. 4 References
7. Certificate of Mailing Express Mail
8. Return Post Card

If any fee has been inadvertently overlooked, please charge deposit account number 12-0600.

The Examiner is encouraged to contact the undersigned if prosecution of the application may be expedited thereby.

Respectfully submitted:

LATHROP & GAGE LLC



Kenneth D. Goetz, Reg. No. 32,696
2345 Grand Boulevard, Suite 2800
Kansas City, MO 64108
Tel No: 816/460-5849
Fax No: 816/292-2001

09/06/01 - ~~SECRET~~ #3

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Jingen Zhang, et al.

Matter No.

393042

Serial No.

Filing Date

Examiner

Group Art Unit

09/851,072

May 8, 2001

Not Assigned

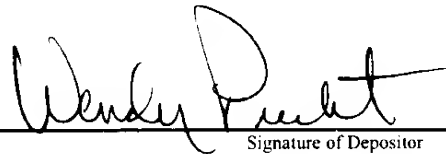
1751

Invention: Functional Fluid Compositions Containing Epoxide Acid Scavengers

I hereby certify that this: Submission of Missing Parts (2 pages); Copy of Notice to File Missing Parts of Nonprovisional Applications (1 page); Declaration and Power of Attorney (6 pages); Information Disclosure Statement (2 pages); Form 1449 (1 page); Copy of 4 References; Fee Transmittal for FY 2001 (1 page); Check for \$130.00; Certificate of Mailing By Express Mail; and this return post card are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Box: Missing Parts, The Assistant Commissioner for Patents, Washington, D.C. 20231 on this 5th day of September, 2001.

Wendy Precht

Name of Depositor



Signature of Depositor

EL830768411US

Express Mail Label No.

SEP 05 2001
PATENT & TRADEMARK



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/851,072	05/08/2001	Jingen Zhang	393042

CONFIRMATION NO. 2831

FORMALITIES LETTER



OC000000006261625

LATHROP & GAGE, LC
Suite 2800
2345 Grand Boulevard
Kansas City, MO 64108

Date Mailed: 07/05/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION


FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*


Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



PATENT

Attorney Docket No.:393042

Express Mail Label No.:EL830768411US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jingen Zhang, et al.

Serial No.: 09/851,072

Group No.: 1751

Filed: May 8, 2001

Examiner: Not Assigned

For: Functional Fluid Compositions Containing
Epoxide Acid Scavengers

Box: Missing Parts
Assistant Commissioner of Patents
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT
FILED UNDER 37 C.F.R. § 1.97(b)

This information disclosure statement is being filed pursuant to 37 C.F.R. § 1.97(b) within three months of the filing or before the mailing date of a first Office Action. Enclosed is one sheet of FORM PTO-1449 (modified) together with copies of all prior art references cited thereon.

CERTIFICATE UNDER 37 C.F.R. § 1.8 and § 1.10

I hereby certify that, on the date shown below, this correspondence is being

- ☒ deposited with the United States Postal Service in an envelope addressed to Box: Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

MAILING

- ☐ **37 C.F.R. § 1.8**
as first class mail.

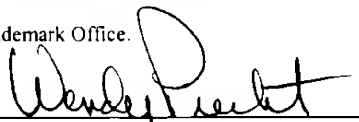
- ☒ **37 C.F.R. § 1.10**
as "Express Mail Post Office to Addressee"
EXPRESS MAIL NO. EL830768411US

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Wendy Precht

Name of Depositor


Signature

September 5, 2001

Date

PATENT

Attorney Docket No.:393042

Express Mail Label No.:EL830768411US

Respectfully submitted,

By Kenneth D. Goetz

Kenneth D. Goetz, Reg. No.32,696

LATHROP & GAGE, L.C.

2345 Grand Boulevard, Suite 2800

Kansas City, Missouri 64108

(816) 460-5849 (phone)

(816) 292-2001 (fax)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 130

Complete if Known

Application Number 09/851,072

Filing Date May 8, 2001

First Named Inventor Jingen Zhang

Examiner Name Not Assigned

Group / Art Unit 1751

Attorney Docket No. 393042

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

12-0600

Deposit
Account
Name

Lathrop & Gage LC

☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$ 0

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20	= 0	X	= 0
Independent Claims	-3 = 0	X	= 0
Multiple Dependent		X	= 0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 130

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

Kenneth D. Goetz

Registration No. Attorney/Agent)

32,696

Telephone

(816) 460-5849

Signature

Kenneth D. Goetz

Date

September 5, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.